

P/3879-12

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re U.S. Patent Application of

New York, New York

Foray et al.

Date: October , 2001

Serial No.: 09/603,515

Group Art Unit: --

Filing Date: June 23, 2000

Examiner:

For: **ANONYMOUS TRADING SYSTEM**

Asst. Commissioner for Patents
Washington, D.C. 20231

CONSENT OF ASSIGNEE

Sir:

Electronic Broking Services Limited, the Assignee of U.S. Patent application Serial No. 09/603,515, hereby consents to the correction of inventorship for the removal of Alastair G. Crane, Srivathasan Krishnasami, Roy S. McPherson, and Paul M. Ginsberg from inventorship in the above-identified patent application in accordance with 37 CFR §3.73(b).

Dated: 26 NOVEMBER 2001

P. S. S.
Signature

Title: CHARMAN

J. I. P. E.
 JAN 16 2002
 RECEIVED
 U.S. PATENT & TRADEMARK OFFICE

UNITED STATES OF AMERICA
 COMBINED DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

OFGS FILE NO. P/3879-12

As a below named inventor, I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that I verily believe that I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

ANONYMOUS TRADING SYSTEM

the specification of which is attached hereto, unless the following box is checked:

☒ was filed on June 23, 2000 as United States patent Application Number or PCT International patent application number 09/603,515 and was amended on _____ (if any).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information known to be material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate or United States provisional application(s) listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign or Provisional Application(s)

COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 U.S.C. 119
			YES ___ NO ___
			YES ___ NO ___
			YES ___ NO ___

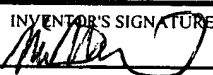
I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

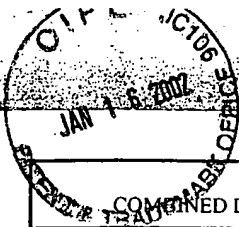
UNITED STATES APPLICATION NUMBER	DATE OF FILING (day, month, year)	STATUS (patented, pending, abandoned)


I hereby appoint customer no. 2352 OSTROLENK, FABER, GERB & SOFFEN, LLP, and the members of the firm, Samuel H. Weiner - Reg. No. 18,510; Jerome M. Berliner - Reg. No. 18,653; Robert C. Faber - Reg. No. 24,322; Edward A. Meilman - Reg. No. 24,735; Stanley H. Lieberstein - Reg. No. 22,400; Steven I. Weisburd - Reg. No. 27,409; Max Moskowitz - Reg. No. 30,576; Stephen A. Soffen - Reg. No. 31,063; James A. Finder - Reg. No. 30,173; William O. Gray, III - Reg. No. 30,944; Louis C. Dujmich - Reg. No. 30,625 and Douglas A. Miro - Reg. No. 31,643, as attorneys with full power of substitution and revocation to prosecute this application, to transact all business in the Patent & Trademark Office connected therewith and to receive all correspondence.

SEND CORRESPONDENCE TO: **OSTROLENK, FABER, GERB & SOFFEN, LLP** DIRECT TELEPHONE CALLS TO:
 1180 AVENUE OF THE AMERICAS (212) 382-0700
 NEW YORK, NEW YORK 10036-8403
 CUSTOMER NO. 2352

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF SOLE OR FIRST INVENTOR Andrew P. FORAY		INVENTOR'S SIGNATURE	DATE
RESIDENCE (City and either State or Foreign Country) Wayne, New Jersey		COUNTRY OF CITIZENSHIP United States	
POST OFFICE ADDRESS 21 New Street, Wayne, New Jersey 07470			
FULL NAME OF SECOND JOINT INVENTOR (IF ANY) Michael S. MEROLD		INVENTOR'S SIGNATURE 	DATE 4/6/2001
RESIDENCE (City and either State or Foreign Country) Sparta, New Jersey		COUNTRY OF CITIZENSHIP United States	
POST OFFICE ADDRESS 14 Walkill Road, Sparta, New Jersey 07871			
FULL NAME OF THIRD JOINT INVENTOR (IF ANY)		INVENTOR'S SIGNATURE	DATE
RESIDENCE (City and either State or Foreign Country)		COUNTRY OF CITIZENSHIP	
POST OFFICE ADDRESS			



UNITED STATES OF AMERICA			OFCS FILE NO. P/3879-12
JOINT DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION			
<p>As a below named inventor, I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that I verily believe that I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named) of the subject matter which is claimed and for which a patent is sought on the invention entitled:</p> <p style="text-align: center;">ANONYMOUS TRADING SYSTEM</p>			
the specification of which is attached hereto, unless the following box is checked:			
<input checked="" type="checkbox"/> was filed on <u>June 23, 2000</u> as United States patent Application Number or PCT International patent application number <u>09/603,515</u> and was amended on _____ (if any).			
<p>I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.</p> <p>I acknowledge the duty to disclose all information known to be material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56.</p> <p>I hereby claim priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate or United States provisional application(s) listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:</p>			
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			YES ___ NO ___
			YES ___ NO ___
			YES ___ NO ___
<p>I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.</p>			
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FULL NAME OF SOLE OR FIRST INVENTOR Andrew P. FORAY		INVENTOR'S SIGNATURE 	DATE 4-6-01
RESIDENCE (City and either State or Foreign Country) Wayne, New Jersey		COUNTRY OF CITIZENSHIP United States	
POST OFFICE ADDRESS 21 New Street, Wayne, New Jersey 07470			
FULL NAME OF SECOND JOINT INVENTOR (IF ANY) Michael S. MEROLD		INVENTOR'S SIGNATURE	DATE
RESIDENCE (City and either State or Foreign Country) Sparta, New Jersey		COUNTRY OF CITIZENSHIP United States	
POST OFFICE ADDRESS 14 Walkill Road, Sparta, New Jersey 07871			
FULL NAME OF THIRD JOINT INVENTOR (IF ANY)		INVENTOR'S SIGNATURE	DATE
RESIDENCE (City and either State or Foreign Country)		COUNTRY OF CITIZENSHIP	
POST OFFICE ADDRESS			



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New York, New York

Foray et al.

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Serial No.: 09/603,515

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Filing Date: June 23, 2000

Examiner:

For: **ANONYMOUS TRADING SYSTEM**

Asst. Commissioner for Patents
Washington, D.C. 20231

Declaration In Support of
PETITION TO CORRECT INVENTORSHIP

Sir:

Andrew P. Foray, Michael S. Merold, Alastair G. Crane, Srivathasan Krishnasami, Roy S. McPherson, and Paul M. Ginsberg declare as follows:

1. Andrew P. Foray, Michael S. Merold, Alastair G. Crane, Srivathasan Krishnasami, Roy S. McPherson, and Paul M. Ginsberg are the named inventors in U.S. Patent application Serial No. 09/603,515. Alastair G. Crane, Srivathasan Krishnasami, Roy S. McPherson, and Paul M. Ginsberg were erroneously named as inventors. The inventors Andrew P. Foray and Michael S. Merold are the correct inventors in U.S. Patent application S.N. 09/603,515 filed June 23, 2000.

2. Alastair G. Crane, Srivathasan Krishnasami, Roy S. McPherson, and Paul M. Ginsberg hereby acknowledge that they are not inventors on the invention claimed in this application and state that the error in inventorship occurred without deceptive intention on their part.

3. Andrew P. Foray and Michael S. Merold, hereby acknowledge that they are the true and correct inventors for this application and state that the error in inventorship occurred without deceptive intention on their part.

4. New declarations by the proper inventors are attached.

5. The petition fee of 37 CFR §1.17(i) (\$130.00) is enclosed.

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130.00 OP

6. A consent of Assignee is also attached.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and believe are believe to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Dated: _____

Andrew P. Foray

Dated: 11/13/2001



Michael S. Merold

Dated: _____

Alastair G. Crane

Dated: _____

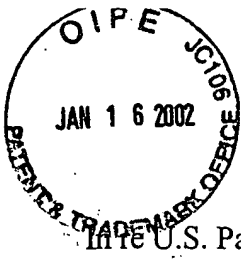
Srivathasan Krishnasami

Dated: _____

Roy S. McPherson

Dated: _____

Paul M. Ginsberg



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Dated: _____

Andrew P. Foray

Dated: _____

Michael S. Merold

Dated: _____

Alastair G. Crane

Dated: _____

Srivathasan Krishnasami

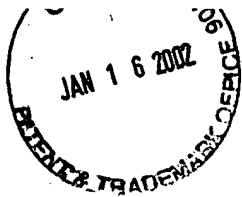
Dated: 1 Nov 2001



Roy S. McPherson

Dated: _____

Paul M. Ginsberg



P/3879-12

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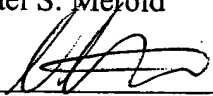
Dated: _____

Andrew P. Foray

Dated: _____

Michael S. Merold

Dated: 7/22/01



Alastair G. Crane

Dated: _____

Srivathasan Krishnasami

Dated: _____

Roy S. McPherson

Dated: _____

Paul M. Ginsberg



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Dated: 11-6-01


Andrew P. Foray

Dated: _____

Michael S. Merold

Dated: _____

Alastair G. Crane

Dated: _____

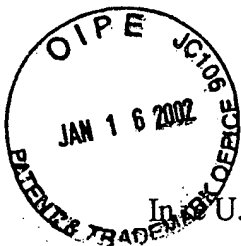
Srivathasan Krishnasami

Dated: _____

Roy S. McPherson

Dated: _____

Paul M. Ginsberg



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Dated: _____

Andrew P. Foray

Dated: _____

Michael S. Merold

Dated: _____

Alastair G. Crane

Dated: 2 November 2001

Svt K

Srivathasan Krishnasami

Dated: _____

Roy S. McPherson

Dated: _____

Paul M. Ginsberg



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Michael S. Merold

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Alastair G. Crane

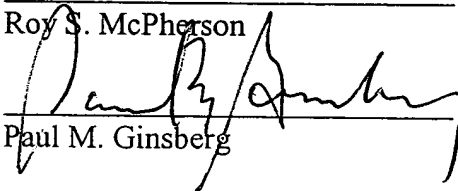
Dated: _____

Srivathasan Krishnasami

Dated: _____

Roy S. McPherson

Dated: 02 November 2001



Paul M. Ginsberg